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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

NCR Docket No. 9491

Application of

Bhashyam Ramesh

Serial No. 09/851,592

Group Art Unit: 2152

Filed: May 9, 2001

Examiner: Unknown

For: **EVENT-BASED SYNCHRONIZATION**

Hon. Commissioner of Patents and Trademarks

Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING PARTS"**

This is a response to the "Notice to File Missing Parts" dated July 3, 2001. Applicant believes that this notice was sent in error and that no surcharge for a late filing fee is due.

According to the notice, the only items missing from the application were the basic filing fee of \$710 and an additional claims fee of \$404, for a total filing fee of \$1114. The transmittal letter that accompanied the application included a statement authorizing the Commissioner to charge the \$1114 fee to our deposit account, account 50-1673. The transmittal letter was signed by Dan Hu, a registered attorney authorized to charge this deposit account. Applicant is enclosing a copy of the transmittal for review by the Office.

Because Applicant authorized the Office to charge the filing fee to its deposit account, the filing fee was not missing. Therefore, the "Notice to File Missing Parts" was sent in error, and no late-fee surcharge is due.

Respectfully submitted,

John D. Cowart  
Attorney for Applicant  
(858) 485-4903

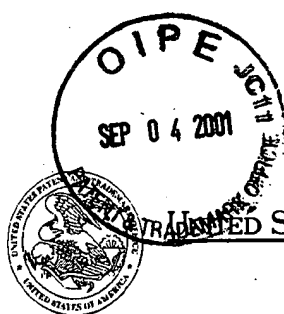
Dayton, Ohio

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CERTIFICATION OF MAILING UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on Aug 29, 2001

By: Sallie Spicer  
Name: Sallie Spicer



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/851,592	05/09/2001	Bhashyam Ramesh	NCRC-0031-US (9491)

CONFIRMATION NO. 2588

## FORMALITIES LETTER



John D. Cowart  
NCR Corporation  
Law Department IP WHQ-4W  
1700 S. Patterson Blvd.  
Dayton, OH 45479

Date Mailed: 07/03/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

09/06/2001 TBESHAH1 00000008 501673 09851592 FILED UNDER 37 CFR 1.53(b)

01 FC:101 710.00 CH  
02 FC:103 324.00 CH  
03 FC:102 80.00 CH

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$404.
  - \$324 for 18 total claims over 20.
  - \$80 for 1 independent claims over 3.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1244.**

10/19/2001 SSALEEKU 00000001 501673 09851592

01 FC:105 130.00 CH

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

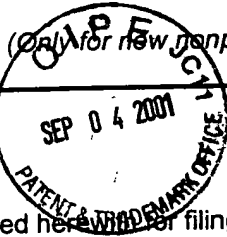
PART 2 - COPY TO BE RETURNED WITH RESPONSE

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
NCRC-0031-US (9491)

Total Pages in this Submission



## TO THE ASSISTANT COMMISSIONER FOR PATENTS

B x Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**Event-Based Synchronization**

and invented by:

**Ramesh Bhashyam, Debashis Mahata, and Srikant S. Sharma**

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☐ C ntinuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ C ntinuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

### Application Elements

1. ☐ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 17 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
NCRC-0031-US (9491)

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## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)

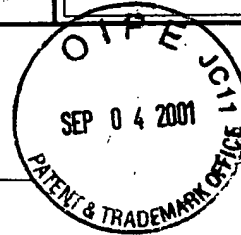
a. ☐ Formal

Number of Sheets

b. ☒ Informal

Number of Sheets

6



4. ☒ Oath or Declaration

a. ☒ Newly executed (original or copy) ☐ Unexecuted

b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)

c. ☒ With Power of Attorney ☐ Without Power of Attorney

d. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (usable if Box 4b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Computer Program in Microfiche (Appendix)

7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)

a. ☐ Paper Copy

b. ☐ Computer Readable Copy (identical to computer copy)

c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☒ Assignment Papers (cover sheet & document(s))

9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Acknowledgment postcard

14. ☒ Certificate of Mailing

☐ First Class ☒ Express Mail (Specify Label No.): EL732849591US

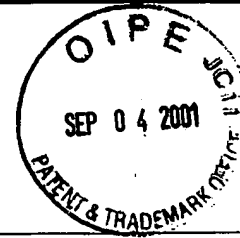
**UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
NCRC-0031-US (9491)

Total Pages in this Submission

**Acc mpanying Applicati n Parts (C ntinued)**



15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☐ Additional Enclosures *(please identify below):*

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

17. ☒ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Larg Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
NCRC-0031-US (9491)

Total Pages in this Submission



**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	38	- 20 =	18	x \$18.00	\$324.00
Indep. Claims	4	- 3 =	1	x \$80.00	\$80.00
Multipl Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$710.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$1,114.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1673 (9491) as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$1,114.00 as filing fee.
  - ☒ Credit any overpayment.
  - ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
  - ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

  
Signature

Dan C. Hu, Reg. No. 40,025  
Tr p, Pruner & Hu, P.C.  
8554 Katy Freeway, Suite 100  
Houston, TX 77024  
(713) 468-8880 [Ph]  
(713) 468-8883 [Fax]

Dated:

5/8/01

cc: